

# Position Description

Read each heading carefully before proceeding. Make statements simple, brief, and complete. Be certain the form is signed. Send the original to the Office of Personnel Services.

CHECK ONE: ☐ NEW POSITION ☐ EXISTING POSITION ☒ UNCLASSIFIED

## Part 1 - Items 1 through 12 to be completed by department head or personnel office.

1. Agency Name Department for Children and Family Services		9. Position No. K0233725	10. Budget Program Number 01114		Agency Number
2. Employee Name (leave blank if position vacant)		11. Present Class Title (if existing position) Senior Compliance Auditor			
3. Division DCF Audit Services		12. Proposed Class Title			
4. Section	For  Use  By  Personnel  Office	13. Allocation		Position Number	
5. Unit		14. Effective Date			
6. Location (address where employee works)  City Topeka County Shawnee		15. By	Approved		
7. (circle appropriate time) Full time X Perm. X Inter. Part time Temp. % Regular		16. Audit Date: By: Date: By:			
8. Regular hours of work: (circle appropriate time)  FROM: 8:00 AM/PM To: 5:00 AM/PM	17. Audit Date: By: Date: By:				

## PART II - To be completed by department head, personnel office or supervisor of the position.

18. If this is a request to reallocate a position, briefly describe the reorganization, reassignment of work, new function added by law or other factors which changed the duties and responsibilities of the position:

19. Who is the supervisor of this position? (person who assigns work, gives directions, answers questions and is directly in charge)?

Name	Title	Position Number
Mary S. Hoover	Auditor Director	K0124714

Who evaluates the work of an incumbent in this position?

Same	Title	Position Number
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20. a) How much latitude is allowed employee in completing the work? b) What kinds of instructions, methods and guidelines are given to the employee in this position to help do the work? c) State how and in what detail assignments are made.

The auditor in this position will supervise a unit working on projects assigned by the Audit Director. These projects will involve 1) ensuring compliance to the Child Welfare contract terms and conditions, 2) monitoring contract and performance outcomes, 3) performing case reads of the Child Welfare contractors and Child Placing Agencies for compliance to policy and procedures, contract terms and conditions and outcomes, 4) performing case reads of intake, screening and investigation performed by DCF Staff, 5) performing review and analysis of data reports and CFSR results, 5) reviewing data submitted by contractors in support of payments made by DCF and 6) other ad hoc requests. Projects are approved by the Audit Director. May work independently on assignments that do not require a team. Directions are given orally or in writing by the Audit Director but the incumbent must be able to use his/her education, skills and training to make sound, professional conclusions and judgments.

21. Describe the work of this position using the page or one additional page only. (Use the following format for describing job duties):

**What** is the action being done (use an action verb); to **whom** or **what** is the action directed (object of action); **why** is the action being done (be brief); **how** is the action being done (be brief). For each task state: Who reviews it? How often? What is it reviewed for?

**Number Each Task and Indicate Percent of Time and Identity each function as essential or marginal by placing an E or M next to the % of time for each task.** Essential functions are the primary job duties for which the position was created and that an employee must be able to perform, with or without reasonable accommodation. A marginal function is a peripheral, incident of minimal part of the position.

No. Each Task and Indicate Percent of Time	E or M	<p>The person in this position has access to protected health information (PHI) under the provisions of the Health Information Portability Act of 1996 (HIPAA) Privacy Rule. PHI must be treated in accordance with the provisions of the HIPAA Privacy Regulation including the requirements for safeguarding, releasing and recording the release of such information. The person will receive training in the provision of the HIPAA Privacy Regulations as they relate to the duties of this position and has signed a confidentiality agreement.</p> <p>In addition to the tasks listed below, the incumbent is expected to communicate the Mission, Vision and Guiding Principles of the agency to peers, clients and the public; identify personal strengths and developmental needs to increase job performance and long-term career growth. Continually analyze work processes, seek new approaches and make recommendations to enhance efficiency and effectiveness of the agency. Works in a harmonious and cooperative fashion with other staff to provide efficient and effective customer service. Uses free time as available to assist other staff in the completion of work assignments. Contributes to a positive work environment through a positive, helpful, courteous demeanor towards staff, clients, and the general public. Adheres to appropriate standards of conduct regarding the use of leave and reports to work on time.</p>
1. 25%	E	<p><b><u>Planning.</u></b> For all types of projects assigned to this unit, identifies the scope of the assigned audit, review, evaluation, consulting or special project under the supervision of the Audit Director. Develops research and work plans; develops measurable criteria used to test conformity with State and Federal regulations, established policies and procedures and in accordance with Generally Accepted Auditing/Accounting Practices; ascertains the level and type of research required to address the audit scope and provider compliance; identifies data sources needed and available to complete the audit; and establishes timelines for completion of each audit. Work is accomplished by having a working knowledge and understanding of auditing procedures, applied research methods, State and Federal regulations, and policies and procedures governing the entity or provider being audited. This person will also perform more complex work of this unit. This position will also be responsible for reviewing the work plans of all projects of the unit as well as all working papers of those auditor within the unit. Review of work is completed by the Audit Director. For thoroughness of plan and its ability to achieve the desired objectives. Provides support and mentoring to unit members.</p>
2. 40%	E	<p><b><u>Performing Audits.</u></b> Conducts case reads within the scope of the audit plan independently or with assistance of other auditors within the unit; designs instruments and collects data related to the audit plan from the responsible persons with sufficient comprehensiveness, frequency and accuracy to permit reliable conclusions to be drawn within established time frames. Collects data through case reviews, surveys, observation, inspection of operational procedures or other means necessary to determine compliance or performance. Prepares crosswalks between the Request for Proposal and policies and procedures and actual contract terms and conditions. Assesses Child Welfare contractor and DCF compliance to the administrative contract terms and conditions. Assesses the monitoring of contract and performance outcomes, and performs case file reads for contractor compliance to policy and procedures, contract terms and conditions and outcomes. Audits the performance of Department staff who are involved in foster care/adoption services and family preservation services. Completes case reads of intake and screening performed by the Protection Report Center. Performs case reads of investigations performed by Department protection specialist field staff. Performs reviews and analysis of data reports prepared by the Prevention and Protection Services (PPS) Data Unit. Reviews SCRIPTS data supporting documentation, and other ad hoc requests for review of PPS initiated by the PPS Director or the Departments Audit Committee. Prepares and maintains working papers that are complete, concise, understandable and can be referenced, and contain sufficient information to support findings and</p>

		conclusions. Performs quantitative and qualitative evaluation of data collected in order to draw conclusions about work related to audit objectives, which are complete, logical, clear and supported by evidence obtained or developed during the audit. Material is to be accurate, supportable, and statistically accurate. Periodic progress reports are provided to the Audit Director. In role of Senior Auditor and supervisor of the unit, prepares, coordinates and reviews work completed by unit members. Coordination work will include ensuring the team stays on scope and on budget (time) and performing all tasks needed for the successful completion of the projects.
3. 25%	E	<b><u>Communicating Results.</u></b> Based on results of the work plan, evaluation, and/or facilitation as required for the project, prepares a report that is clear, concise and easily understood by the audience who may include other State personnel and the general public. Reports must contain all the basic elements i.e., background, opinion, compliance statements, scope, findings, recommendations, and implementation steps as appropriate. Prepares memoranda and letters that respond to or ask questions about the work of the project. Drafts special reports as requested by management. All reports are in compliance with the report standards as set forth in applicable audit and consulting standards. Review of work is completed by the Audit Director for completeness of information, reliability of results and clarity of report.
4. 10%	M	<b><u>Miscellaneous.</u></b> Assists in developing and training staff; may be asked to attend national conferences as a representative of the office; participate in departmental work teams, and other special projects.

#### Key Skills and Competencies

The individual in this position should have the following skills and competencies after a year in the position:

- \*Ability to complete difficult, complex, political and sensitive audits/reviews/evaluations on own.
- \*Ability to allocate, monitor and review work of unit members while also being a team member.
- \*Ability to work independently on difficult or complex projects.
- \*Ability to anticipate and avoid problems and adjust the audit as needed when necessary.
- \*Sound working knowledge of compliance auditing concepts and ability to apply these skills.
- \*Ability to understand and apply compliance audit standards to own work and ensure others are also working in accordance with standards.
- \*Knowledge of “big picture” and political and legislative environment.
- \*Ability to fully use all software products used in Audit Services as intended and also assist others in their use and application.
- \*Ability to facilitate and present oral findings/report.
- \*Understanding of the audit process in general and specific to the DCF Office of Audit (as per audit manual).
- \*Thorough knowledge of DCF PPS, Child Welfare Contractors and Child Placing Agencies
- \*Understanding of audit standards and how they apply to the work.
- \*Understanding of the basic structure and functions of DCF.
- \*Good working familiarity of the agency email applications, MS Office and Teammate.
- \*Ability to think critically and analyze data.
- \*Ability to effectively communicate during the audit (interviews, exit conferences, update meetings, etc.) and in office and agency activities.
- \*Ability to complete personal work and assure team member work is completed with minimal rework and within acceptable time frames.
- \*Ability to multitask when working on own as well as when leading the unit.
- \*Ability to develop and offer ideas for training, develop and deliver training sessions.
- \*Ability to provide written findings and recommendations and prepare a report for all audits assigned to unit.
- \*Desire to learn and continue development of skills through audit training.
- \*Demonstrates leadership skills in day-to-day activities and assists in developing these skills in others in the office.

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- Exhibiting professionalism throughout the workday in interaction with peers, customers, stakeholders, oversight agencies, etc.
  - \*Exhibiting initiative and the ability to be creative when approaching new assignments.
  - \*Ability to be self-starting, self-managing, self-assessing and to be accepting of responsibility.

22. a. If work involves leadership, supervisory, or management responsibilities, check the statement which best describes the position:

- ( ) Lead worker assigns, trains, schedules, oversees, or reviews work of others.
- ( X ) Plans, staffs, evaluates, and directs work of employees of a work unit.
- ( ) Delegates authority to carry out work of a unit to subordinate supervisors or managers.

b. List the names, class titles, and position numbers of all persons who are supervised directly by employee on this position.

<b>Name</b>	<b>Title</b>	<b>Position Number</b>
	Compliance Staff Auditor	K0233726
	Compliance Staff Auditor	K0233727
	Compliance Staff Auditor	K0233728
	Compliance Staff Auditor	K0233729

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23. Which statement best describes the results of error in action or decision of this employee?

- ( ) Minimal property damage, minor injury, minor disruption of the flow of work.
- ( X ) Moderate loss of time, injury, damage or adverse impact on healthy and welfare of others.
- ( ) Major program failure, major property loss, or serious injury or incapacitation.
- ( ) Loss of life, disruption of operations of a major agency.

Please give examples.

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24. For what purpose, with whom and how frequently are contacts made with the public, other employees or officials?

Senior Compliance Auditor in this position will have frequent contact with DCF Child Welfare contractors and Child Placing Agencies. They will also be in frequent contact with DCF program and fiscal staff involved in the child welfare system. They may contact other states, attorneys, federal oversight agency staff or others to obtain information relevant to the audit or review being conducted. They may be required to testify before legislative committees.

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25. What hazards, risks or discomforts exist on the job or in the work environment?

- Travel to and from audit and other work related sites throughout the State, which may require overnight travel.
- Sometimes the accommodations or work environment are not suitable.
- Stress from adversarial relationships that sometimes develop from tension with employees or representatives of auditees.
- Stress from participating in adversarial proceedings such as in group settings working on problem resolution and audit exit conferences or trials.
- Eye strain from the constant use of computers.

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26. List machines or equipment used regularly in the work of this position. Indicate the frequency with which they are used:

The work requires routine daily use of PCs, copiers, fax machines, telephones.

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**PART III - To be completed by the department head or personnel office**

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27. List the minimum amounts of education and experience which you believe to be necessary for an employee to begin employment in this position.

Education – Bachelor’s Degree

Two years of experience in examining work processes, operational records and controls to assess effectiveness, accuracy of records and compliance with statues, regulations and professional/legal standards. Supervisory experience in overseeing a unit/team of program or audit staff.

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Education or Training - special or professional

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Licenses, certificates and registrations

Valid Driver’s License

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Special knowledge, skills and abilities

Knowledge of the child welfare system

Good documentation and communication skills and be able to effectively assess the work of both the Department and Prevention and Protection Services contractors.

Knowledge of research and statistical practices including principles and methods; ability to analyze and evaluate complex problems and data.

Microsoft Office Suite Skills

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Experience - length in years and kind

Child Welfare program experience and compliance monitoring/auditing experience

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**28. SPECIAL QUALIFICATIONS**

State any additional qualifications for this position that are necessary either as a physical requirement of an incumbent on the job, a necessary special requirement, a bona fide occupational qualification (BFOQ) or other requirement that does not contradict the education and experience statement on the class specification. A special requirement must be listed here in order to obtain selective certification.

Must maintain security clearance throughout employment.

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Signature of Employee

Date

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Signature of Personnel Official

Date

**Approved:**

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Signature of Supervisor

Date

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Signature of Agency Head or  
Appointing Authority

Date

